

Health Regulation & Licensing Administration

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION		(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: ALR-0007	(X2) MULTIPLE CONSTRUCTION A. BUILDING _____ B. WING _____		(X3) DATE SURVEY COMPLETED 05/13/2011
NAME OF PROVIDER OR SUPPLIER SUNRISE ASSISTED LIVING ON CONNECTICU			STREET ADDRESS, CITY, STATE, ZIP CODE 5111 CONNECTICUT AVENUE NW WASHINGTON, DC 20008		
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R 000	Initial Comments An annual licensure survey was conducted on April 12, 2012 through April 13, 2011 to determine compliance with Assisted Living Law "DC Code § 44-101.01". The sample sizes were ten(10) residents records based on a census of one hundred- six(106) residents and fourteen(14) employee records based on a census of one hundred forty-one(141) employees. The deficiencies cited were based on observations, record reviews and interviews.	R 000	<p><i>Received 6/10/11</i></p> <p>Department of Health Health Regulation & Licensing Administration Intermediate Care Facilities Division 899 North Capitol St., N.E. Washington, D.C. 20002</p>		
R 471	<p>Sec. 604a1 Individualized Service Plans</p> <p>(a)(1) An ISP shall be developed for each resident prior to admission. Based on record review and interview, the facility failed to develop Individualized Service Plans (ISP) for two (2) of ten(10) resident's prior to admission. (Resident's #1, #4)</p> <p>The findings include:</p> <p>1. On May 12, 2011, at approximately 10:45 a.m., a review of resident #1's record revealed that there were no documented evidence of a prior admission ISP.</p> <p>During a face to face interview with the Assistant Living Coordinator on May 12, 2011 at approximately 1:00 p.m., she was made aware of the findings. She indicated that the ISP was in another office awaiting a physician signature. However, this surveyor was not given of copy of ISP to review.</p> <p>2. On May 12, 2011, a record review at approximately 12:45 p.m. of resident #4's record revealed the resident was admitted on June 16, 2010. Further review of the</p>	R 471	<p>- An audit will be completed of all resident service plans to ensure an Individual Service Plan has been developed prior to admission and the Individual Service Plan has been reviewed by the physician and physician signature has been obtained prior to admission.</p> <p>- Any new admission will have an Individual Service Plan completed prior to admission to facility signed by the physician.</p> <p><i>7/1/2011 and each quarter 8/1/2011 12/1/2011 ongoing</i></p> <p><i>ongoing</i></p>		

Health Regulation & Licensing Administration

*Junya Walker, ED*TITLE *6/3/2011*

(X6) DATE

LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE

STATE FORM

6899

OSC211

If continuation sheet 1 of 7

Junya Walker, ED
*revised POC plan**6/10/2011*

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R 471	Continued From page 1 record revealed there was no documented evidence of a prior admission ISP.	R 471			
R 473	<p>Sec. 604a3 Individualized Service Plans</p> <p>(3) The ISP shall be written by a healthcare practitioner using information from the assessment.</p> <p>Based on record reviews and interview, it was revealed that the facility failed to have Individualized Service Plan's (ISP's) written by a healthcare practitioner for four(4) of ten(10) resident's in the sample. (Resident #1, #3, #5, #8)</p> <p>The findings include:</p> <p>1. On May 12, 2011, a record review at approximately 10:45 a.m. resident #1's record revealed ISP's dated March 19, 2011. Further review of the ISP's revealed there was no documented evidence that the aforementioned ISP's had been written by a healthcare practitioner.</p> <p>During a face to face interview with the Assistant Living Coordinator on May 12, 2011 at approximately 1:00 p.m., she was made aware of the finding.</p> <p>2. On May 12, 2011, a record review at approximately 11:44 a.m. of resident #3's record revealed ISP's dated October 26, 2010. Further review of the ISP's revealed there was no documented evidence that the aforementioned ISP's had been written by a healthcare practitioner.</p> <p>During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care</p>	R 473	<p>- An audit will be completed of all resident service plans to ensure an Individual Service Plan has been developed prior to admission and the Individual Service Plan has been reviewed by the physician and physician signature has been obtained prior to admission.</p> <p>- Any new admission will have an Individual Service Plan completed prior to admission to facility signed by the physician.</p>	<p>7/1/2011 and each quarter 9/1/2011 12/1/2011</p> <p>ongoing</p>	

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R 473	<p>Continued From page 2</p> <p>Coordinator was made aware there was no documentation that a health care practitioner had written the aforementioned ISP.</p> <p>3. On May 13, 2011, a record review at approximately 9:45 a.m. resident #5's record revealed a signed ISP dated May 6, 2011. There was no documented evidence a health care practitioner had written the aforementioned ISP.</p> <p>During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care Coordinator was made aware there was no documentation that a health care practitioner had written the aforementioned ISP.</p> <p>4. On May 13, 2011, a record review at approximately 10:45 a.m. of resident #8's record revealed the resident was admitted on October 26, 2010. The record contained an ISP dated October 26, 2010. There was no documented evidence the aforementioned ISP was written by a health care practitioner.</p> <p>During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care Coordinator was made aware there was no documentation that a health care practitioner had written the aforementioned ISP.</p>	R 473			
R 483	<p>Sec. 604d Individualized Service Plans</p> <p>(d) The ISP shall be reviewed 30 days after admission and at least every 6 months thereafter. The ISP shall be updated more frequently if there is a significant change in the resident's condition. The resident and, if necessary, the surrogate shall be invited to participate in each</p>	R 483			

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R 483	<p>Continued From page 3</p> <p>reassessment. The review shall be conducted by an interdisciplinary team that includes the resident's healthcare practitioner, the resident, the resident's surrogate, if necessary, and the ALR.</p> <p>Based on record reviews and interview, the facility failed to ensure five(5) of ten(10) resident's Individualized Services Plan (ISP) was reviewed by his/her health care practitioner(30) days after admission and at least every six (6) months. (Resident #2, #3, #4, #7, #8.)</p> <p>The findings include:</p> <ol style="list-style-type: none"> 1. On May 12, 2011, a record review at approximately 11:15 a.m. of resident's #2's record revealed the resident was admitted on November 11, 2011. Further review of the record revealed an admission ISP dated November 11, 2010. There was no documented evidence the ISP had been reviewed thirty (30) days after admission by the resident's practitioner. <p>During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care Coordinator was made aware there was no documented evidence of a thirty (30) day review of the ISP by a health care practitioner.</p> <ol style="list-style-type: none"> 2. On May 12, 2011, a record review at approximately 12:30 p.m. of resident #3's record revealed the resident was admitted on October 27, 2010. There was a pre-admission ISP dated October 26, 2010 in the record. There was no documented evidence the ISP had been reviewed thirty (30) days after admission by the resident's health care practitioner. 	R 483	<p>- Resident #2, #3, #4, #7 and #8 Individual Service Plans have been reviewed by his/her physician 30 days after admission and at least every 6 months.</p> <p>- An audit will be completed of all resident service plans to ensure ISP's have been reviewed after 30 days and at least 6 months thereafter. Any resident significant changes in a resident's condition are updated on all service plans and the resident healthcare practitioner, the resident and the resident's surrogate was invited to participate in the resident's reassessment and signed off on the revised resident service plan.</p>	<p>6/10/2011</p> <p>7/1/2011 and each quarter 8/1/2011 12/1/2011</p>	

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R 483	<p>Continued From page 4</p> <p>Further review of the record revealed a six (6) month review of the ISP dated April 13, 2011. There was no documented evidence the resident's health care practitioner reviewed the aforementioned FISP.</p> <p>During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care Coordinator was made aware there was no documented evidence the aforementioned FISP's was reviewed by a healthcare practitioner.</p> <p>3. On May 12, 2011, a record review at approximately 12:45 p.m. of resident #4's record revealed the resident was admitted on June 16, 2010. There was a FISP dated June 23, 2010 in the record. There was no documented evidence the FISP had been reviewed thirty (30) days after admission by the resident's health care practitioner.</p> <p>Further review of the record revealed there was no documented evidence of the FISP being reviewed in six (6) months by the resident's health care practitioner.</p> <p>During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care Coordinator was made aware there was no documented evidence the aforementioned FISP's was reviewed by a healthcare practitioner.</p> <p>4. On May 13, 2011, a record review at approximately 10:45 a.m. of resident #7's record revealed the resident was admitted on February 22, 2011. The record contained a pre-admission FISP dated February 16, 2011. Further review of the record revealed there was no documented evidence the resident's</p>	R 483	<p>- All resident service plans will be reviewed and updated 30 days after admission and at a minimum of every 6 months per the Assisted Living Law *DC Code 44-101.01. Any new concerns or changes will be reflected in the resident's service plans on an ongoing basis. Care staff will be instructed on any new changes or interventions for the resident. At the time of the review the facility will conduct a review of the service plan by an interdisciplinary team. The resident's healthcare practitioner will be invited to participate to in the reassessment meeting. An invite notification letter will be sent directly to the healthcare practitioner via mail. The facility will obtain the signature of the resident's healthcare practitioner on the service plan at the time of the review.</p> <p>- Facility will conduct monthly quality assurance reviews to: 1) ensure all significant changes in a resident's condition are updated on all service plans, 2) verify healthcare practitioners were invited to participate in the resident's reassessment and 3) all service plans include the signature of the healthcare practitioner.</p>	<p>ongoing</p> <p>ongoing</p>	

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R 483	Continued From page 5 health care practitioner reviewed the ISP thirty (30) days after admission. During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care Coordinator was made aware there was no documented evidence the aforementioned ISP's was reviewed by a healthcare practitioner. 5. On May 13, 2011, a record review at approximately 11:00 a.m. of resident #8's record revealed the resident was admitted on October 26, 2010. Further review of the record revealed an ISP dated October 26, 2010. There was no documented evidence the ISP was reviewed 30 days after admission and in six months by a health care practitioner. During a face to face interview on May 13, 2011 at approximately 11:45 a.m., the Health Care Coordinator was made aware there was no documented evidence the aforementioned ISP's was reviewed by a healthcare practitioner.	R 483			
R 595	Sec. 701d8 Staffing Standards. (8) Assure that each employee has a background check pursuant to federal and District law executed at the time of initial employment; Based on staff interview and record review, the Assisted Living Residence (ALR) failed to ensure that all staff had a comprehensive background checks for one of fourteen staff. (Employee #13) The finding includes: On May 13, 2011, beginning at approximately 11:00 a.m., a review of personnel records revealed Employee #13, did not have a criminal	R 595	Employee #13 file now contains comprehensive criminal background check pursuant to federal and District law. An audit will be performed on all current employee files to ensure that all employees have comprehensive criminal background checks pursuant to federal and District law on file. If an employee is identified not to have the required comprehensive criminal background check, the facility will obtain the comprehensive background check pursuant to federal and District law.	5/13/2011 7/1/2011 and each quarter 8/1/2011 12/1/2011 ongoing	

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R 595	Continued From page 6 background check on file for review. The facility human resources director indicated they would fax the information to our office. On May 16, the criminal background check of employee #13, was received in our office.	R 595			
R 598	Sec. 701d11 Staffing Standards. (11) Maintain personnel records for each employee that include documentation of criminal background checks, statements of health status, and documentation of the employee's communicable disease status; Based on a record review and interview it was determined that the facility did not have on file for review the current health status for one of fourteen staff records reviewed (#13). The findings include: On May 13, 2011 at approximately 11:00 a.m., during a record review with the Human Resources Director, it was revealed that the facility did not have on file the current health status of Staff #13). On May 16, 2011, the facility faxed a health certificate to our office that indicate staff #13 was free from communicable disease, however the form was signed by an LPN. There was no evidence that a physician or Nurse Practitioner had examined staff to determine the health status.	R 598	Any new employees hired will have the required comprehensive criminal background check background check pursuant to federal and District law at the time of initial employment. Employee #13 file now contains statement of health status signed by a physician. An audit will be performed on all current employee files to ensure that all employees have statements of current health status signed by a physician. Any new employee hired will have the required statements of current health status signed by a physician outlined in regulations on file.	ongoing 5/13/2011 7/11/2011 and each quarter 5/11/2011 12/1/2011 ongoing ongoing	